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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	5592.1 413420/091
First Inventor	Douglas Rugg
Title	HAT ASSEMBLY COMPRISING,
Express Mail Label No.	ER192544936 US

ETC.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 42]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 4]

5. Oath or Declaration [Total Sheets 46]
 a. Newly executed (original or copy)
 b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 i. DELETION OF INVENTOR(S)
 Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 a. Computer Readable Form (CRF)

b. Specification Sequence Listing on:
 i. CD-ROM or CD-R (2 copies); or
 ii. Paper

c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
 10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney
 11. English Translation Document (if applicable)
 12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
 13. Preliminary Amendment
 14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
 15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
 16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
 17. Other: Certificate of Filing United States Patent Application by Express Mail

16834 U.S. PTO
10/692208

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner _____ Art Unit: _____
 For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number:						OR <input checked="" type="checkbox"/> Correspondence address below
Name	Daniel J. Meaney, Jr.					
Address	Post Office Box 22307					
City	Santa Barbara	State	CA	Zip Code	93121	
Country	USA	Telephone	805-687-6909		Fax	8056874499
Name (Print/Type)	Daniel J. Meaney, Jr.		Registration No. (Attorney/Agent)	22179		
Signature			Date	10/22/03		

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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102203



FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 718.00)

Complete if Known

Application Number	
Filing Date	October 22, 2003 (By Express Mail)
First Named Inventor	Douglas Rugg
Examiner Name	
Art Unit	
Attorney Docket No.	5592.1 413420/091

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number: 13-2515
 Deposit Account Name: Daniel J. Meaney, Jr.

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
		1001	2001	385 Utility filing fee	385
1002	2002	330	165	Design filing fee	
1003	2003	520	260	Plant filing fee	
1004	2004	750	375	Reissue filing fee	
1005	2005	160	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	385

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims below	Fee from	Fee Paid
	57		-20** =	37 x 9	333
			- 3** =	0 x 43	0
				0	0

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	3	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	333

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1602	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Daniel J. Meaney, Jr.	Registration No. (Attorney/Agent)	22179	Telephone	805-687-6909
Signature				Date	10/22/03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: DOUGLAS RUGG)
))
ATTY DKT NO: 5592.1 413420/091))
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FILED: OCTOBER 22, 2003))
 (By Express Mail)))
))
FOR: HAT ASSEMBLY COMPRISING A))
 SELECTED CARRYING MEMBER HAVING))
 A SHAPE AND FOLDABLE HAT))
))
))

Commissioner For Patents and Trademarks
P. O. Box 1450
Alexandria, Virginia 22313-1450

CERTIFICATE OF FILING UNITED STATES
PATENT APPLICATION BY EXPRESS MAIL

Dear Sir:

Pursuant to the provisions of 37 C.F.R. Section 1.10,
enclosed are:

(1) UTILITY PATENT APPLICATION TRANSMITTAL ON FORM
PTO/SB/05;

I hereby certify that this correspondence is
being deposited with the United States Postal
Service as EXPRESS MAIL NO. ER192544936US in
an envelope addressed to:

Commissioner of Patents and Trademarks, P. O.
Box 1450, Alexandria, Virginia 22313-1450, on
October 22, 2003.

Date of Signing: October 22, 2003

Signature: Douglas Rugg

Date of Mailing: October 22, 2003

- (2) FEE TRANSMITTAL FOR FY 2003 ON FORM PTO/SB/17;
- (3) Patent Application comprising Specification Pages 1 through 28; Claim 1 through 57 on Pages 1 through 13; DECLARATION FOR PATENT APPLICATION, one (1) Page, and ABSTRACT OF THE DISCLOSURE, one (1) Page;
- (4) Four (4) Sheets of formal Drawing in A-4 size;
- (5) CHECK for \$718.00 paying the Filing Fee of \$718.00 for a Small Entity;
- (6) INFORMATION DISCLOSURE STATEMENT with one (1) Sheet of Form PTO-1149 List of Prior Art Cited by Applicant and copies of the cited art; and
- (7) Postcard.

We respectfully request a filing date of October 22, 2003, the date of mailing the above-referenced documents, pursuant to the provisions of 37 C.F.R. Section 1.10.

If any additional fees are due herein, please charge the same to Deposit Account No. 13-2515.

Respectfully submitted,



Daniel J. Meaney, Jr.
Registration No. 22179
Attorney for Applicant

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Santa Barbara, California 93121-2307
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Dated: October 22, 2003
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